



UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
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September 27, 2017

**BY ECF**

Honorable Katherine B. Forrest  
United States District Court  
Southern District of New York  
Daniel Patrick Moynihan United States Courthouse  
500 Pearl Street, Courtroom 15A  
New York, NY 10007

**Re: SEC v. Anthony J. Thompson, Jr., Jay Fung, and  
Eric Van Nguyen, et al., 14-cv-9126 (KBF)**

Dear Judge Forrest,

We are submitting this status report pursuant to the Court's August 18, 2017 order that continued the stay until September 28, 2017 and directed the parties to report to the Court on or before that date as to whether the criminal trial is proceeding as scheduled. Based on our conversations with representatives of the District Attorney's Office and Thompson's attorney, it is our understanding the trial is still scheduled to begin this morning, although we understand that the parties are discussing a potential resolution. We have also begun settlement discussions with Thompson's counsel.

If the Court has any questions or requires additional information, please do not hesitate to contact me.

Respectfully submitted,

A handwritten signature in black ink, appearing to be "H. Fischer", is written over the typed name.

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cc: Maranda Fritz (via ECF)  
James Sallah (via ECF)  
Brian Kudon (via Email)